

#2

Docket No.: 042390.P8098X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Carl M. Ellison et al.

Application No.: 09/668,585

Filed: September 22, 2000

For: MANAGING A SECURE PLATFORM  
USING A HIERARCHICAL EXECUTIVE  
ARCHITECTURE IN ISOLATED  
EXECUTION MODE



Examiner:

Art Group:

2185  
**RECEIVED**  
JAN 26 2001  
Technology Center 2100

RECEIVED  
JAN 25 2001  
TC 2300 MAIL ROOM

REQUEST FOR CORRECTION OF FILING RECEIPT

Attn: Application Division  
Assistant Commissioner for Patents  
Washington, DC 20231-9998

Dear Sir:

We have received the official Filing Receipt for the above-identified U.S. Patent Application (copy enclosed). Upon our review, we have discovered that the U.S. Patent and Trademark Office made a typographical error in one of the inventor's names. The receipt indicates the inventor as:

"Milland Mittal"

The inventor's name should be corrected to read as follows:

"Millind Mittal".

Please correct your records to reflect the correct inventor's name, and send us a corrected filing receipt.

If there are any questions regarding this application, please contact the undersigned.

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN

Thinh V. Nguyen  
Reg. No. 42,094

Date: November 9, 2000

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: November 9, 2000.

Eric Hoover

11/9/00  
Date

COPY



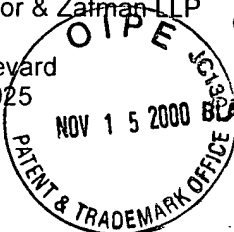
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/668,585	09/22/2000	2185	1848	042390.P8098X	13	80	4

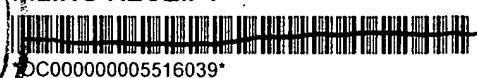
EHT

Thinh V Nguyen  
Blakely Sokoloff Taylor & Zafman LLP  
7th Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025



**RECEIVED**  
NOV 06 2000

FILING RECEIPT



DC000000005516039\*

**RECEIVED**  
JAN 26 2001

Date Mailed: 10/30/2000

Technology Center

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Carl M. Ellison, Portland, OR ;  
Roger A. Golliver, Beaverton, OR ;  
Howard C. Herbert, Phoenix, AZ ;  
Derrick C. Lin, San Mateo, CA ;  
Francis X. McKeen, Portland, OR ;  
Gilbert Neiger, Portland, OR ;  
Ken Reneris, Wilbraham, MA ;  
James A. Sutton, Portland, OR ;  
Shreekant S. Thakkar, Portland, OR ;  
Milland Mittal, Palo Alto, CA ;

**RECEIVED**  
NOV 09 2000  
BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
COSTA MESA

**RECEIVED**  
NOV 07 2000

B.S. L. DATABASE DEPT.

Jc

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/539,344 03/31/2000

## Foreign Applications

If Required, Foreign Filing License Granted 10/30/2000

## Title

Managing a secure platform using a hierarchical executive architecture in isolated execution mode

**ENTERED**  
11/12/2000

RECEIVED  
NOV 25 2001  
TECHNOLOGY CENTER 1700  
NOV 06 2000

**ENTERED**  
NOV 06 2000

STATUS DB-LA

**Preliminary Class**

711

---

**Data entry by : YEMANE, SHEWAYE**

**Team : OIPE**

**Date: 10/30/2000**

[REDACTED]

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

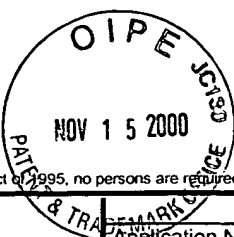
- The articles such as "**a**," "**an**" and "**the**" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "**new**," "**improved**," "**improvements in**" or "**relating to**" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



Please type a plus sign (+) inside this box



PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Complete if Known

Application No.	09/668,585
Filing Date	September 22, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	
Group/Art Unit	2185
Attorney Docket Number	042390.P8098X

RECEIVED  
JAN 26 2001

Technology Center 2100

TOTAL AMOUNT OF PAYMENT (\$)

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

- ☒ Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$)

### 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid

\*or number previously paid, if greater, For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	260	204	135	Multiple Dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	*Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	*Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	126	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

Thinh V. Nguyen

Registration No.  
(Attorney/Agent)

42,034

Telephone

(714) 557-3800

Signature

Date

11/09/00

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED



## UNITED STATES PATENT AND TRADEMARK OFFICE

FILE COPY

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov


Bib Data Sheet

<b>SERIAL NUMBER</b> 09/668,585	<b>FILING DATE</b> 09/22/2000 <b>RULE</b> -	<b>CLASS</b> 711	<b>GROUP ART UNIT</b> 2185	<b>ATTORNEY DOCKET NO.</b> 042390.P8098X
------------------------------------	---	---------------------	-------------------------------	---

## APPLICANTS

Carl M. Ellison, Portland, OR ;  
 Roger A. Golliver, Beaverton, OR ;  
 Howard C. Herbert, Phoenix, AZ ;  
 Derrick C. Lin, San Mateo, CA ;  
 Francis X. McKeen, Portland, OR ;  
 Gilbert Neiger, Portland, OR ;  
 Ken Reneris, Wilbraham, MA ;  
 James A. Sutton, Portland, OR ;  
 Shreekant S. Thakkar, Portland, OR ;  
 Millind Mittal, Palo Alto, CA ;

## \*\* CONTINUING DATA \*\*\*\*\*

THIS APPLICATION IS A CIP OF 09/539,344 03/31/2000

CB

## \*\* FOREIGN APPLICATIONS \*\*\*\*\*

 IF REQUIRED, FOREIGN FILING LICENSE  
 GRANTED \*\* 10/30/2000

Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Verified and Acknowledged Examiner's Signature: <i>Gushner</i> Initials: <i>CB</i>	<b>STATE OR COUNTRY</b> OR	<b>SHEETS DRAWING</b> 13	<b>TOTAL CLAIMS</b> 80	<b>INDEPENDENT CLAIMS</b> 4
---	-------------------------------	-----------------------------	---------------------------	--------------------------------

## ADDRESS

Thinh V Nguyen  
 Blakely Sokoloff Taylor & Zafman LLP  
 7th Floor  
 12400 Wilshire Boulevard  
 Los Angeles, CA 90025

## TITLE

Managing a secure platform using a hierarchical executive architecture in isolated execution mode

 TECHNICAL CENTER  
 1700

<b>FILING FEE RECEIVED 1848</b>	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<table border="1"><tr><td><input type="checkbox"/> All Fees</td></tr><tr><td><input type="checkbox"/> 1.16 Fees ( Filing )</td></tr><tr><td><input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )</td></tr><tr><td><input type="checkbox"/> 1.18 Fees ( Issue )</td></tr><tr><td><input type="checkbox"/> Other _____</td></tr><tr><td><input type="checkbox"/> Credit</td></tr></table>	<input type="checkbox"/> All Fees	<input type="checkbox"/> 1.16 Fees ( Filing )	<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )	<input type="checkbox"/> 1.18 Fees ( Issue )	<input type="checkbox"/> Other _____	<input type="checkbox"/> Credit
<input type="checkbox"/> All Fees								
<input type="checkbox"/> 1.16 Fees ( Filing )								
<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )								
<input type="checkbox"/> 1.18 Fees ( Issue )								
<input type="checkbox"/> Other _____								
<input type="checkbox"/> Credit								